



# UNITED STATES PATENT AND TRADEMARK OFFICE

*an*  
UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/858,397	05/16/2001	Frank Randolph Bryant	92-C-074D3 (STMI01-00024)	4170
30425 7590 06/29/2007 STMICROELECTRONICS, INC. MAIL STATION 2346 1310 ELECTRONICS DRIVE CARROLLTON, TX 75006			EXAMINER DUONG, KHANH B	
			ART UNIT 2822	PAPER NUMBER
			MAIL DATE 06/29/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

**Application No.**

09/858,397

**Applicant(s)**

BRYANT, FRANK RANDOLPH

**Examiner**

Khanh B. Duong

**Art Unit**

2822

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 07 June 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 17-23,25,46-49 and 51-59 is/are pending in the application.
- 4a) Of the above claim(s) 17-23,25,58 and 59 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 46-49 and 51-57 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- ☐ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application
- ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on June 7, 2007 has been entered.

### **Response to Amendment**

Accordingly, claim 46 was amended. Claim 50 was previously canceled. Claims 17-23, 25, 58 and 59 remain withdrawn from consideration as being directed to a non-elected invention.

Currently, claims 46-49 and 51-57 remain active.

### ***Response to Arguments***

Applicant's arguments with respect to the amended claims will be addressed in the following new ground(s) of rejection.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

Art Unit: 2822

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

**Claims 46, 48, 49, 51, 52, 54 and 55 are rejected under 35 U.S.C. 103(a) as being unpatentable over “Fabrication Technique for Fully Recessed Oxide Isolation”, IBM Technical Disclosure Bulletin, March 1, 1977, Volume No. 19, Issue No. 10, page 3947-3950.**

The IBM Technical Disclosure Bulletin above (herein “IBM TDB”) expressly discloses in FIGs. 2A-2C an integrated circuit device comprising: a substrate (P-Si); a gate structure, wherein the gate structure includes: a gate oxide layer (“OXIDE”) on the substrate; a nitride layer (“NITRIDE”) over the gate oxide layer; and a polysilicon layer (“POLYSILICON”) over the nitride layer; a channel region inherently under the gate structure; and source/drain regions (boron ions implanted regions) in the substrate adjacent the channel region; wherein the gate structure has a peripheral edge and further including an uplift (bird’s beak) in portions of the nitride layer proximate the peripheral edge of the gate structure. The IBM TDB expressly discloses in FIG. 2C that the nitride layer encasing the polysilicon layer acts as a protective layer and prevents the formation of asperities in the polysilicon layer, including a bottom surface thereof, during a reoxidation step to form recessed oxides.

Re claims 46, 48, 49 and 54, the IBM TDB does not disclose the thickness of an oxidation layer (recessed oxide) being from about 25 Angstroms to about 500 Angstroms on the substrate.

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to optimize and select an appropriate thickness for the oxidation layer. The

Art Unit: 2822

selection of parameters such as energy, power, concentration, temperature, time, depth, thickness, etc., would have been obvious and involve routine optimization which has been held to be within the level of ordinary skill in the art. "Normally, it is to be expected that a change in temperature, or in concentration, or in both, would be an unpatentable modification. Under some circumstances, however, changes such as these may be impart patentability to a process if the particular ranges claimed produce new and unexpected result which is different in kind and not merely degree from results of prior art ... such ranges are termed 'critical ranges' and the applicant has the burden of proving such criticality ... More particularly, where the general conditions of a claim are disclosed in the prior art, it is not inventive to discover the optimum or workable ranges by routine experimentation". *In re Aller*, 105 USPQ 233, 235 (CCPA 1955). See also MPEP 2144.05.

Re claims 51 and 52, the IBM TDB expressly discloses in FIG. 2C: the substrate has a surface and further including an indentation in the surface of the substrate located proximate to the peripheral edge of the gate structure; the gate structure includes sidewall spacers (NITRIDE) located on each edge of the gate structure and lightly doped drain regions (boron ions implanted regions) in the substrate below the sidewalls spacers.

Re further claims 46, 49, 51, 54 and 55, the claims recite the following product-by-process limitations: the uplift caused by reoxidation of the polysilicon layer within the gate structure; the nitride layer is formed by nitrogen implantation to form an implanted area and by annealing of the implanted area; the uplift caused by reoxidation of the gate structure, wherein asperities are absent from the polysilicon layer; the indentation resulting from reoxidation of the gate structure; and the source/drain regions are implanted prior to or after reoxidation. However,

Art Unit: 2822

these limitations have not been given patentable weight because product-by-process claims are not limited to the manipulations of the recited steps, only the structure implied by the steps.

"[E]ven though product-by-process claims are limited by and defined by the process, determination of patentability is based on the product itself. The patentability of a product does not depend on its method of production. If the product in the product-by-process claim is the same as or obvious from a product of the prior art, the claim is unpatentable even though the prior product was made by a different process." In re Thorpe, 777 F.2d 695, 698, 227 USPQ 964, 966 (Fed. Cir. 1985).

**Claims 46-49, 52, 53 and 55-57 are rejected under 35 U.S.C. 103(a) as being unpatentable over Khan et al. (U.S. 4,192,059) in view of the IBM TDB.**

Khan et al. ("Khan") discloses in FIG. 12 an integrated circuit device comprising: a substrate 3 (p-type); a gate structure, wherein the gate structure includes: a gate oxide layer 4 on the substrate 3; a nitride layer 5 over the gate oxide layer 4; and a polysilicon layer 15 over the nitride layer 5; a channel region under the gate structure; source/drain regions (n-type) in the substrate 3 adjacent the channel region; and sidewall spacers 34 located on each edge of the gate structure and lightly doped drain regions in the substrate below the sidewalls spacers 34.

Re claims 46, 48, 49, 52, 53 and 55, Khan fails to disclose the gate structure further including an uplift in portions of the nitride layer proximate the peripheral edge of the gate structure, wherein asperities are absent from a bottom surface of the polysilicon layer. Khan also does not disclose the thickness of an oxidation layer being from about 25 Angstroms to about 500 Angstroms on the substrate.

Art Unit: 2822

The IBM TDB expressly shows in FIG. 2C, as previously discussed above, the gate structure further including an uplift (bird's peak) in portions of the nitride layer ("NITRIDE") proximate the peripheral edge of the gate structure, wherein asperities are absent from a bottom surface of the polysilicon layer.

Since Khan and the IBM TDB are from the same field of endeavor, the purpose disclosed by the IBM TDB would have been recognized in the pertinent prior art of Khan

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the device disclosed by Khan as taught by the IBM TDB because of the desirability to suppress oxidation at the end of the polysilicon gate. In addition, it would have further been obvious to a person of ordinary skill in the art at the time the invention was made to optimize and select an appropriate thickness for the oxidation layer. The selection of parameters such as energy, power, concentration, temperature, time, depth, thickness, etc., would have been obvious and involve routine optimization which has been held to be within the level of ordinary skill in the art. "Normally, it is to be expected that a change in temperature, or in concentration, or in both, would be an unpatentable modification. Under some circumstances, however, changes such as these may be impart patentability to a process if the particular ranges claimed produce new and unexpected result which is different in kind and not merely degree from results of prior art ... such ranges are termed 'critical ranges' and the applicant has the burden of proving such criticality ... More particularly, where the general conditions of a claim are disclosed in the prior art, it is not inventive to discover the optimum or workable ranges by routine experimentation". *In re Aller*, 105 USPQ 233, 235 (CCPA 1955). See also MPEP 2144.05.

Re further claims 46, 49, 53 and 55, the claims recite the following process limitations: the uplift caused by reoxidation of the polysilicon layer within the gate structure; the nitride layer is formed by nitrogen implantation to form an implanted area and by annealing of the implanted area; the source/drain regions are formed by implanting n-type impurities in the p-type substrate; and the source/drain regions are implanted after reoxidation. However, the method of forming a device is not germane to the issue of patentability of the device itself. Therefore, these limitations have not been given patentable weight.

Re further claims 47, 56 and 57, Khan fails to show specific dimensional parameters of the nitride layer, gate oxide layer and channel region.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the process of Khan by selecting such dimensional parameters within the ranges as required by the claims, since it has been held that where the general conditions of a claim are disclosed in the prior art, discovering the optimum or working ranges involves only routine skill in the art. *In re Aller*, 220 F.2d 454, 456, 105 USPQ 233, 235 (CCPA 1955).

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Khanh B. Duong whose telephone number is (571) 272-1836. The examiner can normally be reached on Monday-Friday from 8:00-4:30.

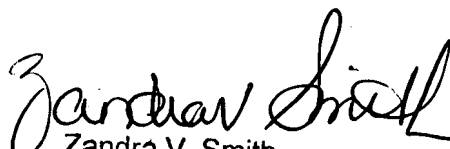
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Zandra Smith, can be reached on (571) 272-2429. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.



Art Unit: 2822

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

KBD

  
Zandra V. Smith  
Supervisory Patent Examiner  
28 June 2007